

9-7-04

DT03 Rec'd PCT/PTO 03 SEP 2004

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FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 07-2004)

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES

2002JP302

DESIGNATED/ELECTED OFFICE (DO/EO/US)

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

NOT ASSIGNED 10/506874

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

PCT/JP03/05945

May 13, 2003

May 16, 2002

TITLE OF INVENTION

HYDROPHILIZATION-ACCELERATING AND HYDROPHILICITY-KEEPING AGENTS FOR
POLYSILAZANE-CONTAINING COATING FILMS

APPLICANT(S) FOR DO/EO/US

Tadashi SUZUKI, Hiroshi HARA, Osamu FUNAYAMA, Hideo TAKEUCHI

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV 540353217 US
23. ☒ Other items or information:

Form PCT/IB/301

Form PCT/IB/304

Form PCT/IB/308

WO 03/097760 A1

U.S. APPLICATION NO (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
NOT ASSIGNED		PCT/JP03/05945		2002JP302	
24. The following fees are submitted:				CALCULATIONS PTO USE ONLY	
BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)) :					
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO				\$1080.00	
<input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO				\$920.00	
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO				\$770.00	
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)				\$730.00	
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)				\$100.00	
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$920.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$0.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	17 - 20 =	0	x \$18.00	\$0.00	
Independent claims	2 - 3 =	0	x \$86.00	\$0.00	
Multiple Dependent Claims (check if applicable).			<input type="checkbox"/>	\$0.00	
TOTAL OF ABOVE CALCULATIONS =				\$920.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$0.00	
SUBTOTAL =				\$920.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$0.00	
TOTAL NATIONAL FEE =				\$920.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).			<input type="checkbox"/>	\$0.00	
TOTAL FEES ENCLOSED =				\$920.00	
				Amount to be refunded	\$
				charged	\$
a. <input type="checkbox"/> A check in the amount of _____ to cover the above fees is enclosed.					
b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 03-2060 in the amount of \$920.00 to cover the above fees.					
c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-2060					
d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.					
SEND ALL CORRESPONDENCE TO:					
ALAN P. KASS CLARIANT CORPORATION 70 MEISTER AVENUE SOMERVILLE, NJ 08876			SIGNATURE ALAN P. KASS NAME 32,142 REGISTRATION NUMBER September 3, 2004 DATE		
Customer No. 26,289					

101506874

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): **Tadashi SUZUKI et al.**

DT04 Rec'd PCT/PTO 03 SEP 2004

2002JP302

Application No. NOT ASSIGNED	Filing Date September 3, 2004	Examiner NOT ASSIGNED	Customer No. 26,289	Group Art Unit NOT ASSIGNED
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Invention:

**HYDROPHILIZATION-ACCELERATING AND HYDROPHILICITY-KEEPING AGENTS FOR
POLYSILAZANE-CONTAINING COATING FILMS**

I hereby certify that the following correspondence:

WIPO Publication of 03/097760 A1 - 1 Page

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

September 3, 2004

(Date)

MARIA T. SANCHEZ

(Typed or Printed Name of Person Mailing Correspondence)


(Signature of Person Mailing Correspondence)

EV 540353217 US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

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DT04 Recd

PCT/PTO

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September 3, 2004*(Date)*MARIA T. SANCHEZ*(Typed or Printed Name of Person Mailing Correspondence)*
*(Signature of Person Mailing Correspondence)*EV 540353217 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

10/506874

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Form PCT/IB/301 - 1 Page

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September 3, 2004*(Date)*MARIA T. SANCHEZ*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*EV 540353217 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

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10/506874
DT04 Rec'd PCT/PTO 03 SEP 2004
2002JP302Application No.
NOT ASSIGNEDFiling Date
September 3, 2004Examiner
NOT ASSIGNEDCustomer No.
26,289Group Art Unit
NOT ASSIGNED

Invention:

**HYDROPHILIZATION-ACCELERATING AND HYDROPHILICITY-KEEPING AGENTS FOR
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Form PCT/IB/308 - 1 Page

(Identify type of correspondence)

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*(Signature of Person Mailing Correspondence)*EV 540353217 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Tadashi SUZUKI et al.

Docket No.

10/506874
20027P902

DT04 Rec'd PCT/PTO 03 SEP 2004

Application No. NOT ASSIGNED	Filing Date September 3, 2004	Examiner NOT ASSIGNED	Customer No. 26,289	Group Art Unit NOT ASSIGNED
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Invention:

**HYDROPHILIZATION-ACCELERATING AND HYDROPHILICITY-KEEPING AGENTS FOR
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I hereby certify that the following correspondence:

Patent Application - 44 Pages*(Identify type of correspondence)*

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September 3, 2004*(Date)*MARIA T. SANCHEZ*(Typed or Printed Name of Person Mailing Correspondence)*
*(Signature of Person Mailing Correspondence)*EV 540353217 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

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I hereby certify that the following correspondence:

Declaration For Utility Or Design Patent Application - 3 Pages*(Identify type of correspondence)*

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*(Signature of Person Mailing Correspondence)***EV 540353217 US***("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

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I hereby certify that the following correspondence:

International Search Report for PCT/JP03/05945 - 1 Page*(Identify type of correspondence)*

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NOT ASSIGNED

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I hereby certify that the following correspondence:

Transmittal Letter - 2 Pages

(Identify type of correspondence)

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